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Q&D - Office of Water - Ground Water Unit Records Disposition Schedules

records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC). Excludes: Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275. Item b: Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO) Item c: Work Assignment Contracting Officer's Representative (COR) Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)	Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract. Item c:Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.	Status: Final, 05/31/2007
DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates	Item a(1):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure.	N1-412-06-7 Status: Final, 01/31/2008
for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.	Item a(2):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.	
Item a(1): Published or released to the public and related background materials - Nonelectronic	Item a(3):Disposable Close file upon transfer to the National Archives.	
Item a(2): Published or released to the public and related background materials - Electronic	Delete after electronic record copy is successfully transferred to the National Archives.	
Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives	Item b:Disposable Close inactive records upon decision to not publish or issue.	
Item b: Unpublished or not released to the public and related background materials	Destroy 10 years after file closure.	
Function: 306-112 007 DRINKING WATER MANAGEMENT &	Item a: Disposable	N1-412-08-7/3
IMPLEMENTATION FILES: Contains records relating to public water supply systems, source water assessment and protection, wellhead protection, and the direct implementation of the primary and secondary drinking water regulations. Includes supplier reports to the states, public notices and educational materials, public water system inventories, correspondence, and reports.	Close inactive records at end of year. Destroy 10 years after file closure.	Status: Final 6/30/08
Item a: Record copy		
Function: 108-025-03-02 214		

06/30/2007

authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions; corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees. Excludes: Superfund site-specific and oil spill sitespecific enforcement actions scheduled as EPA 025 and EPA 480, respectively. Item a: Administrative case files where no legal actions are required. Item b: Judicial case files where routine legal actions are required. Item c: Landmark or precedent cases. Includes cases as designated by the Regional Administrator's designee.

Function: 108-025-08 207

FINAL DELIVERABLES RESULTING FROM

CONTRACTOR STUDIES & SERVICES: Files

consist of the final draft and final deliverables, products, and reports submitted by contractors and

grantees to the Agency, or produced in-house by

individuals, committees, or task forces. Records

from a contracted service or study or purchase

deliverables from a grant; and final reports

Item a: Final deliverables and reports for all

Item b: Final deliverables and reports for

Item c: Final deliverables and reports not

related to environmental programs

environmental programs, except Superfund site-

resulting from special studies and surveys

completed within the Agency

Superfund site-specific

305-109-01 258

orders and transmittal letters; final products and

include all final drafts or final deliverables resulting

Destroy 10 years after file closure.

Item b: Disposable

Close inactive records upon settlement or closing of case.

Destroy 20 years after file closure.

Item c: Permanent

Close inactive records upon settlement or closing of case.

Transfer nonelectronic records to the National Archives in 5 year blocks 20 years after file closure.

Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.

N1-412-06-27

completion of project.

Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy

Item b: Disposable

Close inactive records upon completion of project.

Destroy 30 years after file closure.

Item c: Disposable

Close inactive records upon completion of project.

Destroy 7 years after file closure.

GRANTS & OTHER PROGRAM SUPPORT

AGREEMENTS: Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.

Item a:Disposable

Close inactive records immediately after closeout of the agreement.

Destroy 10 years after file closure.

N1-412-07-34

Status: Final,

03/30/2007

Status: Draft, 02/1/2007

Item a: Permanent

Close inactive records upon

Transfer nonelectronic records to the National Archives 20 years after file closure.

20 years after file closure.

http://r10napps3.r10.epa.gov:9876/r10/infopage/infopage.nsf/4bb5d2c2196a420e8825650... 10/20/2014

	and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements. Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232). Item a: Record copy Function: 205 003		
I r v r	Inter-Agency & External committees: Includes records of meetings of committees and non-rulemaking work groups and task forces held within EPA related to EPA's mission. Consists of meeting agendas, official copies of minutes or transcripts of meetings, copies of official committee reports, and background papers. Also includes committees established for facilitative or operational purposes unrelated to EPA's mission, composed wholly of full-time officers or employees of the federal government, and not subject to the Federal Advisory Committee Act (FACA), e.g., committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities. Item a: Committees related to EPA's environmental missions Item b: Committees unrelated to EPA's environmental missions Function: 401 187	Item a: Disposable Close inactive records when committee superseded or canceled, at the completion of a significant activity (e.g., completion of a research report), or at the change of committee chair. Destroy 5 years after file closure. Item b: Disposable Destroy when no longer needed for administrative purposes. Destroy when no longer needed for administrative purposes	N1-412-07-1/8 (Item a) General Records Schedule 26/1a (Item b) Status: Final, 12/31/2009
i c i f r r t t t	PERMIT FILES: Contains records used in the ssuance or denial of a permit issued by EPA offices or authorized states, federal facilities, interstate or local agencies. Includes draft and final permits; major and minor permits; permit modifications; general, special, emergency, research, interim permits, and others. Consists of the notification form, permit applications, packground and supporting documentation, public notices, comments and records of public meetings, fact sheets, exception reports, appeals, delistings, correspondence, financial assurance documents, and other related records; Excludes: RCRA program permits scheduled as EPA 478. Item b: NPDES minor permits. Includes national pollutant discharge elimination system (NPDES)	Item b: Disposable Close inactive records when no longer needed. Destroy 10 years after file closure. Item c: Disposable Close inactive records at permit renewal or termination (revocation or expiration) or at end of calendar year. Destroy 10 years after file closure.	N1-412-08-6 Status: Draft, 12/31/2007

items a, b and d. Includes: UIC (except when			
EPA is permitting authority and UIC exemptions); NPDES (except minors);			
pretreatment; sewage treatment; ocean dumping; new source review (NSR) (including			
prevention of significant deterioration (PSD)),			
nonattainment NSR, and minor NSR); and Toxic Substances Control Act (TSCA) polychlorinated			
biphenyls (PCB) disposal.			
Function: 204-079 205			
PROGRAM DEVELOPMENT FILES: Consists of records related to the development of	Item a(1): Permanent Close inactive records at the end	N1-412-06-29	
environmental and administrative policies and	of the activity, project, or topic.	Status: Final,	
programs. Records consist of correspondence, briefing books and papers, issue papers and	Transfer to the National Archives	10/31/2010	
reports relative to policy, strategy, program	20 years after file closure.		
control, research priorities, legislative priorities, published and unpublished directives and policy	Item a(2): Permanent Close inactive records at the end		
guidance documents, and related records that	of the activity, project, or topic.		
document the development of environmental programs, program priorities and objectives,	Transfer to the National Archives 5 years after file closure, with any		
program evaluation and planning, and similar	related documentation and		
topics. Item a(1): Record copy - Nonelectronic	external finding aids, as specified in 36 CFR 1228.270 or standards		
Item a(2): Record copy - Electronic	applicable at the time.		
	Item a(3):Disposable Close file upon transfer to the		
Item a(3): Electronic copy of records transferred to the National Archives	National Archives.		
	Delete after electronic record copy		
Function: 304-104-02 145	is successfully transferred to the National Archives.		
REGIONAL ADMINISTRATOR, DIVISION DIRECTORS, BRANCH & SECTION CHIEFS: Subject files. Contains information related to the development of regional environmental programs & policies. Records consist of reports on regional environmental projects, surveys, briefing books, special studies, position papers, legislation, unpublished directives & policy guidance documents, enforcement actions, &	active materials. Keep inactive files in office up to 3 yrs. after file break, then retire to FRC. Transfer to National Archives when 15 yrs. old. b: Destroy/delete when no longer needed for reference.		
other program documents related to water, air, pesticide, toxic, & hazardous materials, enforcement, & environmental services programs. Records are used by Regional Administrators, Division Directors, & Branch & Section Chiefs in policy evaluation & program planning. Item a: Record copy			
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Item b: Copies on optical disk & CD-ROMs (PROG 126R)			
PROGRAM MANAGEMENT FILES: Includes records which relate to the on-going management of programs and routine projects	Item b: Disposable Close inactive records at end of calendar year.	N1-412-06-6/2 Status: Final,	
within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports relating to general policy and program	Destroy 5 years after file closure.	12/31/2009	
matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing			

housekeeping records (EPA 110) and organization and program development records (EPA 145).

Item b: Other than senior officials

Function: 301-093 006

PUBLIC AWARENESS FILES: Includes records used to produce outreach materials for the public or Congress produced by program and regional offices. Records consist of background papers, talking points, briefings and briefing books, news clippings, biographical information on EPA officials, documents on program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases. It also includes conference and symposium materials relating to programs, an element of the program, a particular regulation, or an environmental event.

Item a(1): Official dissemination products -Nonelectronic

Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents

Item a(2): Official dissemination products -Electronic

Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related

Item a(3): Official dissemination products -Electronic copy of records transferred to the National Archives

Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.

Item b: Background or working papers

Function: 305-109-02-04 081

REGULATIONS, STANDARDS, &

GUIDELINES: Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts, meeting minutes, background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted.

Item a(1):Permanent

Close inactive records at end of

Transfer to the National Archives 10 years after file closure.

Item a(2):Permanent

Close inactive records at end of

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids as specified in 36 CFR 1228.270 or standards applicable at the time.

Item a(3):Disposable

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

Item b:Disposable

Close inactive records at end of

Destroy 3 years after file closure.

N1-412-07-68/14

Status: Draft, 01/31/2008

Contact Joyce Aovama X3-2595 for more info.

N1-412-07-2/6

Status: Final, 06/30/2007

Item a: Permanent

Close inactive records upon promulgation of rule or approval of guideline.

Transfer nonelectronic records to the National Archives 20 years after file closure.

Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.

Item b: Unpublished regulations, standards, and guidelines	decision to not publish the regulation, standard, or guideline.	
Function: 306-114 149	Destroy 10 years after file closure. If record is microform, destroy paper after quality assurance is completed.	
SOLE SOURCE AQUIFER FILES: Records document the identification and designation of critical aquifer protection areas. Includes information released to the public, petitions requesting project review, public notice and hearing documentation, correspondence, memoranda of understanding (MOU) and other information relating to the designation of sole source aquifers. Item a: Record copy Function: 108-025-03 212	Item a: Permanent Close inactive records at end of year. Transfer nonelectronic records to the National Archives 25 years after file closure. Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 25 years after file closure.	NC1-412-85- 17/23 Status: Final, 03/31/2008
SPEECHES & TESTIMONY: Contains speeches and presentations prepared for delivery while representing the Agency at EPA-sponsored meetings, and government, civic and professional conferences and meetings. Also contains copies of congressional testimony and expert testimony related to non-EPA cases. Item a: Senior officials Item b: Other federal employees when the speeches are not necessary to document the Agency or its programs Function: 305-109-02-04 140	Item a: Permanent Close inactive records at end of calendar year. Transfer nonelectronic records to the National Archives 10 years after file closure. Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 10 years after file closure. Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.	N1-412-06-8 Status: Final, 03/30/2007
State and Other Entity Relations and Oversight Files: Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions. Item a: Record copy Function: 301-093 203	Item a: Disposable Close inactive records at end of year. Destroy 10 years after file closure.	N1-412-07-1/9 Status: Final, 03/30/2007
State and Other Entity Program Authorization and Approval Files: Contains records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program. Types of records include the application with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, and documentation of public participation activities. Also includes documents relating to EPA's review,	Item a: Permanent Close inactive records at end of year or after new authorization is signed. Transfer nonelectronic records to the National Archives in 5 year blocks 20 years after file closure. Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and	N1-412-07-2/8 Status: Final, 06/30/2007

the initial program authorization and subsequent revisions.	time. Delete EPA reference copy 20 years after file closure.	
Item a: Record copy.		
Function: 304-104-03 204		
EPA Non-Records: Non-record reference materials maintained by individuals or programs, including manuals, technical reports, extra copies of the program's publications, journal articles, books, directories, etc. Item a: Nonrecord copy	Item a: Close when obsolete, superseded or no longer needed for reference, then destroy	NOT APPLICABLE
UNDERGROUND STORAGE TANKS	Item a: Disposable	N1-412-07-55/5
SITE/FACILITY FILES: Contains records that document the management of the underground storage tank (UST) program. Includes release reports, site characterization reports, financial assurance, evaluations, information requests, and inspection and sampling reports.	Close inactive records at end of year. Destroy 10 years after file closure.	Status: Draft, 08/31/2007 Contact Joyce Aoyama X3-2595 for more info.
Item a: Record copy		
Function: 108-025-04 215		
MATER QUALITY PLANNING & MANAGEMENT FILES: Case files. Contains documents relating to water quality planning, management and implementation undertaken by EPA, states, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes water quality reports, TMDLs (Total Maximum Daily Loads), load allocation working papers, water quality models, correspondence and other related documents. Item a: Final plans and annual and biennial reports. Excludes: State 305 (b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429. Item b: Supporting files	Item a: Permanent Close inactive records at end of year. Transfer nonelectronic records to the National Archives 10 years after file closure. Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 10 years after file closure. Item b: Disposable Close inactive records at end of year. Destroy 10 years after file closure. EPA Locator EPA Home	Status: Development, 04/30/2007 Contact Joyce Aoyama X3-2595 for more info.
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